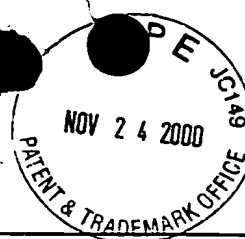




UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/660,468	09/12/2000	Allan S. Lau	4099-0002.31

22918
IOTA PI LAW GROUP
350 CAMBRIDGE AVENUE SUITE 250
P O BOX 60850
PALO ALTO, CA 94306-0850

FORMALITIES LETTER



OC000000005517717

Date Mailed: 10/30/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$404.
 - \$144 for 8 total claims over 20.
 - \$260 for multiple dependent claim surcharge.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1224.

*A copy of this notice **MUST** be returned with the reply.*

[Signature]
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

11/28/2000 JADD01 00000053 09560468
01 FC:201 355.00 DP
02 FC:203 171.00 DP
03 FC:205 65.00 DP



7

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231, on:

Date: 11/20/00

By: Deborah Beckmeyer

Docket No. 4099-0002.31

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Allan S. Lau et al.

SERIAL No.: 09/660,468

FILED: September 12, 2000

FOR: **CYTOKINE COMPOSITION AND
METHOD OF ITS PRODUCTION**

EXAMINER: Unknown

ART UNIT: 1646

Response to Notice to File Missing
Parts of Application

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

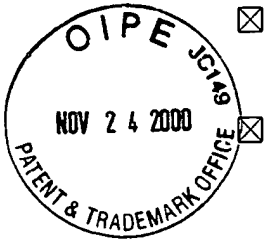
Sir:

1. In response to the Notice to File Missing Parts mailed October 30, 2000 (copy enclosed), applicant submits the following:

- ☒ An Executed Declaration of Inventorship
- ☒ A Power of Attorney by Assignee
- ☒ a copy of an assignment recordation cover sheet for **informational purposes only** (Form PTOL-1595) for assignment being filed separately.

2. Conditional Petition for Extension of Time

Applicant petitions for an Extension of Time if necessary for timely filing of this Response.

3. Fee Payment

- ☒ Applicant claims small entity status. See 37 CFR §1.27.
- ☒ Enclosed is a check for \$591 in payment of the basic filing fee (\$355 + \$171 in additional claim fees), the surcharge for late filing of declaration or oath (\$65.00).
- ☐ Please charge the above fee(s) to Deposit Account No. 04-0531; this paper is provided in triplicate.
- ☒ Please charge any underpayment for timely filing of this Response to Deposit Account No. 04-0531.

Date: 11-20-2000

Respectfully submitted,

Peter J. Dehlinger
Peter J. Dehlinger
Registration No. 28,006

Correspondence Address:

Customer No. 22918

Phone: (650) 324-0880

PATENTS ONLY

To the Honorable Assistant Commissioner for Patents: Please record the attached original documents or copy thereof

1. Name of conveying party(ies):
Allan S. Lau
Winnie H. Wan
Add'l names of conveying parties attached?
☐ Yes ☒ No

3. Nature of conveyance: ☒ Assignment
☐ Merger ☐ Security Agreement ☐ Other
☐ Change of Name ☐ Reassignment

4. Date of execution: November 15, 2000

2. Name/address of receiving party(ies):
GeneTrol Biotherapeutics, Inc.

2220 Livingston Street
Suite 201
Oakland, CA 94606

Add'l names of receiving parties attached? ☐ Yes ☒ No

5. Application number(s) and/or patent number(s):

If this document is being filed with a new application, the date of signature by the first named inventor was: _____

A. Patent Application No.(s)
09/660,468 filed 12 September 2000

B. Patent No.(s)

Additional numbers attached: ☐ Yes ☒ No

6. Name and address of party to whom correspondence concerning document should be mailed:

Iota Pi Law Group
P.O. Box 60850
Palo Alto, CA 94306
(650) 324-0880

7. Total No. of applications and patents involved:
one (1)

8. Total fee (37 CFR \$3.41): \$40.00
☒ Enclosed is check for \$40.00.

9. Total number of pages, including cover sheet, attachments and document: 4

DO NOT USE THIS SPACE

10. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Peter J. Dehlinger
Name of Person Signing

Peter J. Dehlinger
Signature

11-20-2000
Date